
EXHIBIT B
PROCEDURES AND REQUIREMENTS
Used Oil Opportunity Grant (9th Cycle) for FY 2007/08

Copies of these Procedures and Requirements should be shared with BOTH the Finance Department AND the staff responsible for implementing the grant activities.

Introduction	<p>The Used Oil Opportunity Grant (OG) Program is administered through the California Integrated Waste Management Board (CIWMB). These Procedures and Requirements describe project and reporting requirements, report due dates, report contents, grant payment conditions, eligible and ineligible project costs, project completion and close-out procedures, records and audit requirements.</p> <p>This document is attached to, and incorporated by reference, the Grant Agreement.</p> <p>All documents submitted must be printed double-sided on one hundred percent (100%) recycled-content paper. Specific pages containing full-color photographs or other ink-intensive graphics may be printed on photographic paper.</p>	
Important Dates	June 30, 2008	Grant Term Begins pending the Notice to Proceed
	February 16, 2009	Progress Report Due (covers 6/30/08 - 12/31/08)
	February 15, 2010	Progress Report Due (covers 1/1/09 - 12/31/09)
	February 15, 2011	Progress Report Due (covers 1/1/10 – 12/31/10)
	September 30, 2011	Grant Term Ends
	September 30, 2011	Final Report and Grant Payment Request Due (covers 1/1/11 – 9/30/11; and summarizes 6/30/08 – 12/31/10)
		No extensions will be granted for submittal of final report.
Public Records	<p>All documents submitted become the property of the CIWMB and are subject to disclosure under the Public Records Act. Do not submit confidential information.</p>	
Reliable Contractor Declaration	<p>The Grantee must provide a declaration signed under penalty of perjury by the Grantee's contractor(s), if any, stating that within the preceding three (3) years, none of the events listed in Section 17050 of Title 14, California Code of Regulations, Natural Resources, Division 7, have occurred with respect to the contractor(s). See</p>	

Reliable Contractor Declaration (cont.)	<p>“Contractors/Subcontractors” section in Exhibit A – Terms and Conditions for more information.</p> <p>The declaration must be received and approved by the CIWMB Grant Manager (Grant Manager) prior to commencement of work. To obtain the Reliable Contractor Declaration form (CIWMB 168), see www.ciwmb.ca.gov/Grants/Forms/CIWMB168.doc or www.ciwmb.ca.gov/Grants/Forms/CIWMB168.pdf.</p>
Questions?	<p>All communication regarding this grant should be directed to your CIWMB Grant Manager unless otherwise specifically stated. To find the name and telephone number of your CIWMB Grant Manager, refer to www.ciwmb.ca.gov/HHW/Grants/Contacts.htm.</p> <p>The Grantee may also call the Financial Assistance Division, Grant and Loan Resources Branch at (916) 341-6457.</p>
Where to send Reports, Grant Payment Requests, etc.	<p>Send your Reports, Grant Payment Requests, and all other written correspondence to your CIWMB Grant Manager’s attention at:</p> <p>California Integrated Waste Management Board Financial Assistance Division Used Oil Grant Program – MS9 P.O. Box 4025, 1001 “I” Street Sacramento, CA 95812-4025 Attn: (your CIWMB Grant Manager’s name)</p>
Eligible Costs	<p>All expenditures must be only for activities, products, and costs included in the grant’s approved Work Plan (Exhibit C) and approved Budget (Exhibit D), and must be incurred, and services provided and goods received, after receiving Notice to Proceed and before the end of the Grant Term (i.e., Grant Performance Period). Any proposed revisions to the Work Plan and/or the Budget must be submitted and pre-approved in writing by the CIWMB Grant Manager prior to Grantee incurring the proposed expenditure. The approval document should be retained by the Grantee for a minimum of three years for audit purposes.</p> <p><u>Overhead/Indirect Costs</u></p> <p>The total cost of overhead/indirect cost charged to the grant shall not exceed ten percent (10%) of grant funds reimbursed and must be supported by a Cost Allocation Plan. These costs are expenditures not capable of being assigned, and not readily itemized to a particular project or activity, but considered necessary for the operation of the organization and the performance of the program. The cost of operating and maintaining facilities, accounting services, and administrative salaries not directly related to grant activities are examples of overhead/indirect costs.</p> <p>The following guidelines must be used when claiming these costs:</p> <ul style="list-style-type: none"> • All overhead and indirect costs charged to the grant must be

associated with grant activities as shown in the approved Budget.

If you are uncertain whether a given cost is considered an overhead/indirect cost by the CIWMB, contact your CIWMB Grant Manager.

- Direct costs charged directly to the grant shall not be included in the overhead/indirect cost formula.
- Supervision performed by Managers and Supervisors can be included in the overhead/indirect cost formula, and therefore, will not be a direct charge to the grant. On the other hand, if a Manager or Supervisor performs an activity that is directly related to the execution of the grant (not supervision), costs associated with this activity may be included as a direct charge. Any such activity must be clearly supported by appropriate documentation and shall not be charged to the grant as overhead/indirect cost.
- The Grantee must have on file (and make available upon request) an internally approved Cost Allocation Plan which specifically documents how the cost amount was established and how it is supported by formal accounting records to substantiate the charges. It must identify program elements included in the overhead/indirect cost calculation and be approved by an appropriate Supervisor/Manager in your agency. See the sample "Cost Allocation Plan" calculation below:

Total department indirect cost divided by total department direct cost base equals overhead/indirect cost rate.

- The Grantee must maintain organized and accurate records that follow generally accepted accounting principles and leave an audit trail. The Grantee must provide access to all documents related to the grant program and fiscal operation of the grant program as deemed necessary by the CIWMB.

Stormwater

Stormwater pollution prevention programs related to used oil and oil byproducts may be eligible as grant expenses as follows:

Stormwater mitigation is defined in Public Resources Code 48618.4 to include "...the prevention of stormwater pollution from used oil and oil byproducts and the reduction or alleviation of the effect of stormwater pollution from used oil and oil byproducts by means of action taken on public property. Mitigation includes the installation of devices and implementation of practices that effectively prevent used oil and

Eligible Costs (cont.)

oil byproducts from causing stormwater pollution. Mitigation does not include the cleanup or restoration of polluted areas.”

Grantee may expend grant funds on only the following types of storm drain filters (inserts, debris screens):

- A debris screen that covers the opening to the storm drain inlet. (Regular municipal street-sweeping must occur where debris screens are installed.)
- A catch basin (streetside) inlet insert that **does not** contain oil absorbent media.
- A catch basin inlet insert that **does** contain oil absorbent media plus a debris screen that covers the opening to the storm drain inlet. (The debris screen prevents debris and sediment from entering the storm drain and obstructing the oil absorbent media.)
- A vertical drop-in parking lot inlet insert that **does** contain oil absorbent media (must be covered by a grate or debris screen).

Note: Periodic clean-out of catch basin inlet **inserts** and replacement of their oil-absorbent media are eligible for grant funding. However, street sweeping and clean-out of catch basin inlets without inserts are not eligible for grant funding.

Ineligible Costs

Any costs not included in your approved budget are ineligible for reimbursement. If you have any questions regarding ineligible costs, contact your CIWMB Grant Manager. Ineligible costs include, but are not limited to:

- Costs incurred prior to receiving the Notice to Proceed, or after the grant term
- Costs currently covered by another CIWMB loan, grant or contract
- Overhead/indirect costs in excess of the allowable percentage as defined under Eligible Costs above
- Any costs that are not consistent with local, state, and federal guidelines and regulations
- Fines or penalties due to violation of federal, state or local laws, ordinances, or regulations
- Expenses for audits of the Grantee's entire organization, or portions thereof
- Pre-paid expenditures for future goods or services delivered beyond the end of the grant term. (Exemption: The CIWMB Grant Manager may consider approving products purchased in full before

Ineligible Costs
(cont.)

the end of the Grant Term but delivered after the Grant Term if the delay is caused solely by the supplier, and not by the Grantee. The Grantee must request an exemption in writing and receive written pre-approval from the Grant Manager)

- Cell phones, pagers, cameras, personal digital assistants, personal computers and other similar electronic devices
- Profit or mark-up by the Grantee
- Movie theater screen advertising
- Any food or beverages (e.g., as part of meetings, workshops or events)
- Purchase or lease of land or buildings
- Purchase or lease of vehicles
- Development or customizing of school curricula
- Public education costs not directly tied to used oil, oil filter collection, or vehicle fleet use of re-refined oil
- Promotional items or premiums that exceed \$6 per item if no written pre-approval was obtained
- Promotional items or premiums that are not related to the grant or target audience
- Promotion of brand-name product(s) or private businesses with grant funds
- Overtime costs/Compensated Time Off (except for local government staffing during specially scheduled evening or weekend events that are pre-approved in writing by the CIWMB Grant Manager when law or labor contract requires overtime compensation)
- Personnel costs incurred while an employee assigned to the project funded by the grant does not work on the project (e.g. use of accrued time such as sick leave, vacations, etc.)
- Out-of-state travel
- Travel costs exceeding the state-approved rates for mileage, per diem, lodging, etc. (For hotel and meal rates, see www.catravelsmart.com and click on "Lodging Reimbursement Rates" for hotel maximum rates. Click on "DPA Lodging Reimbursement" for Meals and Incidentals and for Personal Vehicle Mileage Reimbursement.)
- Remediation (any cleanup or restoration of polluted areas)
- Enforcement activities
- Hazardous Waste Operations and Emergency Response Standards (HAZWOPER) 40-hour and 24-hour courses
- Preparation of HHW Elements that are not related to used oil
- Transportation & disposal of non-oil HHW from any facility or event
- Equipment, materials or supplies at HHW facilities or antifreeze, battery, oil, and paint facilities (ABOP) not directly related to the collection of used oil and used oil filters
- Costs to maintain an existing HHW program where used oil is not collected

Ineligible Costs
(cont.)

- Management, handling, disposal, or treatment of radioactive explosive or medical wastes, and other extremely hazardous waste
- Developing a permanent facility on non-government managed property
- Any costs not deemed reasonable or related to the grant project by the CIWMB Grant Manager

Recycled Content
Requirements

All products containing recycled-content material that are purchased with grant funds must be reported. At a minimum, Grantees must report the percentage of recycled-content material for products purchased in the product categories listed below. Grantees must use a separate Recycled-Content Product Certification (RCP) Form (CIWMB 74G) for each supplier and submit these forms with the Final Progress Report. The form can be found at CIWMB's website and accessed by either Microsoft Word or Adobe Acrobat: www.ciwmb.ca.gov/HHW/Forms/.

Purchases of the following products with grant funds must meet the specific percentages of recycled-content, as described on the RCP form.

Paper Products	Printing & Writing Paper	Plastic Products
Compost & Co-Compost	Glass Products	Lubricating Oils
Paint	Solvents	Steel Products
Tires	Tire-Derived Products	

Any exceptions to the above requirements must be pre-approved by your CIWMB Grant Manager.

Recycled-content information for some commonly purchased Grant items may be found at:

www.ciwmb.ca.gov/UsedOil/Grants/Resources/Vendors/PromoProduct.doc

More information regarding RCP vendors and contractors may be found at: www.ciwmb.ca.gov/RCP/ For information about CIWMB's *Buy Recycled Program*, visit: www.ciwmb.ca.gov/BuyRecycled/.

Large Equipment
CIWMB
Acknowledgement

A CIWMB sticker (bumper sticker size) that displays the "used oil drop" logo including the text "Recycle Used Oil" and "Funded by a grant from the California Integrated Waste Management Board" is required to be affixed to all large pieces of equipment purchased with grant funds. When submitting the Final Report, the picture of this equipment should include the affixed sticker. CIWMB has stickers available at no cost which may be requested from your CIWMB Grant Manager.

Requirements for
Publicity and
Education Items

Premiums must be appropriate for the target audience; durable, and not likely to be disposed of in a short time or contribute to the waste stream or hazardous waste stream (e. g., any item containing batteries, mercury, etc.); and not promote a particular brand-name product or private business.

For all languages other than English, Grantee must work with a certified

Requirements for
Publicity and
Education Items
(cont.)

translator or person fluent in reading and writing the language. A description of the translator's qualifications, as well as an English version of the material(s), must be submitted with the final report. Of key importance is that the translated material is at a reading level appropriate for its targeted audience.

Materials or items purchased for publicity or educational purposes may be denied for reimbursement if they do not meet the requirements detailed in this section.

All items/materials, as appropriate, must meet the recycled-content product content requirements as set forth in the Terms and Conditions (Exhibit A) and described in the RCP Form, and must include the following:

- 1) Acknowledgement of the CIWMB funding that reads "Funded by a grant from the California Integrated Waste Management Board." ¹ (Use of the initials "CIWMB" is not sufficient). Exception: The acknowledgement line is not required on small items where space constraints would not allow for this line, or if it would interfere with the message (pencils, small magnets, etc.). All exceptions must be pre-approved in writing by your CIWMB Grant Manager.
- 2) Specific information on reducing the illegal disposal of used oil and/or used oil filters.
- 3) A list of Used Oil collection locations or a 24-hour hotline number. When locations are listed, include the following language: "Call for hours of operation and types of materials accepted". (Use the 1-800-CLEANUP number or www.cleanup.org website if Grantee does not maintain its own 24-hour hotline.)
- 4) A "Used Oil Drop" logo with the words "Recycle Used Oil" or "Recycle Used Oil and Filters" as appropriate. Camera-ready art and color specifications are available free from the CIWMB.
- 5) The slogan, "Zero Waste – You Make It Happen!" Where space is a constraint, the Grant Manager may allow exceptions. Exceptions must be pre-approved in writing.

Publicity &
Education Reporting
Samples

For audit purposes, Grantees are required to retain samples of all Publicity & Education materials for three years after the close of the grant term, or a longer period of time if warranted to resolve any issues with this grant. (See Audit/Records Access with the Terms and Conditions, Exhibit A, for more information.)

¹ There are only two acceptable Spanish translations: "Financiado por una beca del California Integrated Waste Management Board" or "Patrocinado por fondos del California Integrated Waste Management Board." For other languages, you must work with a certified translator or person fluent in reading and writing that language.

Copyright Requirements

The following language must appear on any copyrightable material produced with Board funds:

Copyright language: © {year of creation} by the California Integrated Waste Management Board (CIWMB). All rights reserved. This publication, or parts thereof, may not be reproduced without permission from CIWMB.

Examples of copyrightable material include, but are not limited to:

- CDs and DVDs or audio and/or visual material
- Computer Software
- Brochures, pamphlets, and reproduction of advertisements designed for distribution

Please check with your CIWMB Grant Manager with specific questions about the applicability of using the copyright language. Omission of this language must be pre-approved, in writing, by the CIWMB Grant Manager.

Graphics are available on the CIWMB's website at:

<http://www.ciwmb.ca.gov/UsedOil/graphics/HHWArt/>

Graphics



The used oil graphics are also available on the CIWMB's website at

www.ciwmb.ca.gov/UsedOil/graphics/default.htm#usedoil.

Use the state colors (blue oil drop on yellow background) on any material produced in 4 or more colors. (Color designation for professional printing: Yale Blue-pantone 286C; Golden Yellow-pantone 123C.)

Written Pre-Approval Required for Select Publicity and Education Materials

The following materials and items require written approval from your CIWMB Grant Manager prior to incurring the expense. These items include:

1. Premiums, if the per item cost exceeds six dollars (\$6).
2. All television, video, and radio scripts.

Progress Reports: Due:

February 16, 2009
February 15, 2010
February 15, 2011

The Progress Reports cover activities from the preceding calendar year.

- **1st** Progress Report Due 2/16/09 covers period from 6/30/08 to 12/31/08)
- **2nd** Progress Report Due 2/15/10 covers period from 1/01/09 to 12/31/09)
- **3rd** Progress Report Due 2/15/11 covers period from 1/01/10 to 12/31/10)

The reports should include, at a minimum, the following:

Progress Reports:
Due:
February 16, 2009
February 15, 2010
February 15, 2011
(cont.)

1. The Grant number, Grantee's name, and reporting period.

The following disclaimer must appear on the cover page of the report:

"The statements and conclusions of this report are those of the Grantee and not necessarily those of the California Integrated Waste Management Board, its employees, or the State of California. The State makes no warranty, express or implied, and assumes no liability for the information contained in the succeeding text."

2. A description of work completed, arranged by the Reporting and Expenditure Categories as shown in your Work Plan. Include as an overall summary, or in each section, responses to the following questions as applicable:
 - a) What are the unique or new activities/technologies?
 - b) What were the successes (so far) in relation to goals and objectives?
 - c) What problems/challenges were discovered during implementation?
 - d) How did you resolve them?
 - e) What "best practices" might be shared with other jurisdictions?
3. A brief discussion of work to be conducted during the next reporting period (remainder of calendar year). If necessary, discuss any adjustments to the Work Plan resulting from your process evaluation. Your CIWMB Grant Manager must give written pre-approval for any changes to the Work Plan or Budget.

Final Progress
Report Due:
September 30, 2011

The Final Progress Report covers activities from 1/01/11 through 9/30/11; additionally, it summarizes the previously reported grant period (6/30/08 through 12/31/10). It may be submitted early if activities are completed and all funds expended before the end of the grant term. Grants are not considered closed until all the reporting requirements have been met, all available funding has been expended or returned to the CIWMB, and/or the grant term has expired.

Note: The Final Report due date coincides with the closure of the grant term to encourage Grantee to complete documentation with grant funding. Costs incurred after the end of the grant term on 9/30/11 (for example to complete the Final Report and Payment Request) will not be eligible for reimbursement through the grant and must be paid for by the Grantee.

The final report requires additional documentation and includes:

1. The Grant number, Grantee's name, and Grant Term.

The following disclaimer must appear on the cover page of the report:

"The statements and conclusions of this report are those of the Grantee and not necessarily those of the California Integrated Waste Management Board, its employees, or the State of California. The State makes no warranty, express or implied, and assumes no liability for the information contained in the succeeding text."

2. Description of activities that were undertaken, continued, and completed during the reporting period. Activities must be arranged by the categories shown in Grantee's approved Work Plan.
3. Summary of results, as applicable to Grantee's Work Plan, including- but not limited to, the following (not all items listed below will be applicable to all Grant Projects):

For Permanent Facilities and Temporary/Mobile Collection Events:

- a) Number of participants served by each facility and temporary/mobile collection event during grant term.
- b) Map of existing and new collection sites and temporary/mobile collection events and the target audience(s) served during grant term.
- c) Gallons of used oil and number of used oil filters collected at each facility or temporary/mobile collection event during grant term.
- d) Cost of each permanent facility and/or temporary/mobile collection event held (excluding publicity) during grant term.
- e) Cost per gallon of oil collected and cost per used oil filter collected at each permanent facility or temporary/mobile collection event (excluding publicity) during grant term.
- f) Cost per participant served at each permanent facility or temporary/mobile collection event (excluding publicity) during grant term.

For Residential Collection Programs:

- a) Number of curbside/door-to-door stops during the grant term, **or** number of households served by curbside collection (if number of stops are not tracked) during the grant term.
- b) Amount of used oil in gallons and number of used oil filters collected during the grant term.
- c) Cost per gallon of used oil collected and cost per used oil filter collected by curbside/door-to-door pickup.
- d) Cost per household served by curbside/door-to-door pickup.

For Publicity Education/Outreach efforts:

- a) Description of target audience(s).

- b) Number of community events attended during the grant term and number of people stopping at your booth.
 - c) Number of people surveyed.
 - d) Number of outreach presentations conducted during the grant term and number of students, teachers, and other participants who attended the presentations.
 - e) Outreach materials developed (such as, brochures, shop rags, oil filter holders, door hangers, etc.) and number distributed (include distribution method) during the grant term.
 - f) Total estimated number of people reached through publicity and education efforts during the grant term.
 - g) Explanation as to which event and/or publicity strategy was most effective in reaching the target audience and leading to the desired behavior change.
 - h) Cost of public education and outreach per gallon of used oil collected and cost per used oil filter collected.
 - i) Cost of public education/outreach per participant.
4. **Evaluation of program outcome during the grant term.**
- a) Did you see a decrease in illegal dumping incidents?
 - b) Did the amount of used oil and oil filters collected and recycled increase or decrease compared to your baseline? If so by what percentage?
 - c) What statistical tests or questionnaires were used to evaluate project effectiveness? Provide a summary of results. (Include samples and related reports.)
 - d) What were the successes in relation to goals and objectives?
 - e) What problems/challenges emerged during implementation? How did you resolve them?
 - f) What would you do differently if you had the program to design all over again?
5. What “best practices” might be shared with other jurisdictions?
- Samples of Premiums and Printed Material**
- a) A digital image of each premium item in a commonly accepted format, and all final printed publicity and education materials. The photographs of the premiums must show compliance with requirements of the grant (i.e. oil logo, “Funded by a grant from...” and “Zero Waste...” phrases. See “Acknowledgement” provision within Exhibit A- Terms and Conditions). More than one digital image may be submitted if needed to capture all required components or to accurately illustrate the item. If compliance with procedures cannot be clearly captured in a photographic image, then an original

Final Progress
Report Due:
September 30, 2011
(cont.)

- copy of the premium item must be submitted.
- b) A PDF copy of graphics is acceptable. The CIWMB Grant Manager may ask for a copy of the graphic in its original format.
 - c) Two photographs, from different angles, for large items such as equipment or structures.
 - d) A photograph of each event attended or conducted (if not previously submitted).
6. **Samples of final Television, Video and Radio Ads.** A final copy of each ad (if not previously submitted) in the appropriate media format (DVD format for videos and CD-rom for radio ads).
7. **Copies of any work product** identified in the Work Plan (e.g., photographs and descriptions of equipment, structures, events, etc.) that were produced, purchased or conducted (unless previously submitted).
8. A completed and signed **Recycled-Content Certification Form** (CIWMB 74G) for all items purchased with grant funds. Submit a separate RCP form from each supplier for each item purchased with grant funds.

Self-Assessment
Checklist

The Grantee shall submit with its Final Report a completed and signed Self Assessment Checklist Form, which is designed to aid the Grantee and the CIWMB in measuring compliance with administrative requirements.

Fiscal Reporting and
Payment Request
Details

Required Documents and Format for Payment Request

A complete payment request must include the following items in the order listed.

1. **Grant Payment Request Form** (CIWMB 87) – This form must be signed by the individual authorized by the Resolution. Please remember to type or print the individual's name and title below the signature.
2. **Expenditure Itemization Summary (EIS)** (CIWMB 667) - All expenditures must be itemized and arranged by the reporting and expenditure categories as contained in the Grantee's approved Budget and Work Plan.

Each EIS must be accompanied by supporting documentation for each line item expense. The supporting documentation should be a receipt, or if not, a purchase order or invoice with proof of payment (e.g. cancelled check, bank statement, accounting report) or other proof of payment documentation. The Grantee should retain the original documents.

Contact your CIWMB Grant Manager for approval prior to submission if you would like to provide some other form of supporting documentation.

The EIS must include the following certification:

"I certify under penalty of perjury, under the laws of the State of California, that the above information is correct and that all funds received have been expended in accordance with the Grant."

The certification must be dated and signed by the person authorized in the Grantee's Resolution. An EIS received without the signed certification will not be approved.

3. Supporting Documentation – Documentation for all expenditures claimed on the Grant Payment Request should be retained for a minimum of three (3) years after closeout of the grant term for audit purposes. (see Audit/Records Access in Terms and Conditions, Exhibit A) Types of acceptable documentation include, but are not limited to:

- a) **Receipts.** Receipts must include the vendor's name, vendor's telephone number, and address, description of goods or services purchased, amount due, and date. If there is more than one receipt from a vendor, list them separately on the EIS and include receipt or invoice numbers.
- b) **Purchase orders with proof of payment.** Purchase orders should include the same information as receipts, and must be accompanied by proof of payment (e.g., copies of cancelled checks).
- c) **Invoices with proof of payment.** Invoices should contain the same information as receipts and purchase orders and must be accompanied by the same proofs of payment as are described for purchase orders (see above).

Personnel Expenditure Summary Form (CIWMB 165 or Grantee's own version). Document personnel expenditures based on actual time spent on grant activities and actual amounts paid to personnel (these forms are not required if you have an alternate time reporting method pre-approved by your CIWMB Grant Manager). This form can be found at CIWMB's website: <http://www.ciwmb.ca.gov/Grants/Forms/>

- d) **Travel Expense Form (CIWMB form or Grantee's version).** Document costs related to travel and include supporting documentation. This form can be found at CIWMB's website: <http://www.ciwmb.ca.gov/Grants/Forms/>.

Fiscal Reporting and
Payment Request
Details (cont.)

The CIWMB Grant Manager shall authorize payment upon approval of a complete and accurate Grant Payment Request package and, where applicable, approval of all required reports. A payment request **may be submitted more frequently**, either on a quarterly or a monthly basis, as long as a description/report of activities completed during that time period is included.

Forms for a Payment Request

All forms can be downloaded from the CIWMB's website at <http://www.ciwmb.ca.gov/Grants/Forms/>, or contact your CIWMB Grant Manager.

Ten Percent Withhold

Ten percent (10%) will be withheld from each Grant Payment Request and paid at the end of the grant term, when all reports and conditions stipulated in the Grant Agreement have been satisfactorily completed.

Services Rendered

Goods and services must be paid for and received within the period from the Notice to Proceed and before the end of the grant term (9/30/2011) considered the Grant Performance Period. Proof of delivery is required.

Exceptions and Audit
Considerations

Exceptions to certain provisions of these Procedures and Requirements may be considered on a case-by-case basis. The CIWMB Grant Manager is only authorized to grant exceptions where such authority is expressly specified in this Agreement.

Requests must be submitted in writing, and approved in writing, by your CIWMB Grant Manager. The Grantee is responsible for retaining documentation of any exceptions to the Grant Agreement for audit purposes.

The Grantee agrees to maintain records and supporting documentation pertaining to the performance of this grant subject to possible audit for at minimum of three (3) years after final payment date or grant term end date, whichever is later, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute, or audit, whichever is later.

Examples of audit documentation include, but are not limited to, expenditure ledger, payroll register entries, time sheets, personnel expenditure summary form, travel expense log, paid warrants, contracts

Exceptions and Audit Considerations (cont.)	<p><i>and change orders, samples of items and materials developed with grant funds, and/or canceled checks.</i></p> <p><i>Refer to the Terms and Conditions FY 2007/08 (Exhibit A) for more information.</i></p>
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